

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

WAKAYAMA et al.

Appl. No. 09/995,695

Filed: November 29, 2001

For:

Integrated Direct Conversion

Satellite Tuner

Confirmation No. 9797

Art Unit: 2817

Examiner: (to be assigned)

Atty. Docket: 1875.1210001

Information Disclosure Statement

Commissioner for Patents Washington, D.C. 20231

Sir:

RECEIVED
JAN 13 2003
TECHNOLOGY CENTER 2800

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- □ 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- Filing under 37 C.F.R. § 1.97((b). This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, OR before the mailing date of a first Office Action on the merits OR before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.
- □ 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
 - □ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to

the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).

- □ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- □ c. Attached is our PTO-2038 Credit Card Payment Form [OR] Check No.
 ______ in the amount of \$ _____ in payment of the fee under 37
 C.F.R. § 1.17(p).
- □ 4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Enclosed find our Check No. _______ in the amount of \$ _____ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:
 - □ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
 - □ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

- 5. Documents AA1-AD1 and AL1-AM1 were cited in a search report by a foreign patent office in a counterpart foreign application. A copy of the search report is enclosed as document AR1 on the attached PTO Form 1449.
- 6. A concise explanation of the relevance of non-English language document AM1 appears below:

Document AN1 is a corresponding British counterpart of document AM1.

□ 7. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. _______, filed ______, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Jeffrey T. Helvey Attorney for Applicants Registration No. 44,757

Sell Kelver

Date: 1/10/03

1100 New York Avenue, N.W. Suite 600 Washington, D.C. 20005-3934 (202) 371-2600

SKGF_DC1:89103.1

1

OIA										Page 1 of 1
FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT						ATTY. DOCKET NO. 1875.1210001			ICATION NO	
						APPLICANT Wakayama et al.				
						FILING DATE November 29, 2001 GRG			OUP	
REMARK					v.s.	PATENT DOCUMENTS		1002.		
EXAMINER INITIAL										
			DOCUMENT NUMBER		ATE	NAME	CI	ASS	SUB- CLASS	FILING DATE
	AA1	5,8	,819,157		/1998	Ben-Efraim et al.				
	AB1	5,8	359,559		/1999	Hong et al.				
	AC1	5,8	84,154			Sano et al.				
	AD1	6,1	150,875		/2000	Tsinker				ļ
	AE1	—		+					 	<u> </u>
	AF1			+						
	AG1	+		+		<u>-</u>			_	
	AH1	+		╁		ļ			-	
	AII	+		+						
	AJ1	+		+						
	AK1	<u> </u>			20227				_1	<u> </u>
EVANTUED	<u> </u>	\top			POREIG	N PATENT DOCUMENTS	Т		1	T
EXAMINER INITIAL		DOC	CUMENT NUMBER		DATE	COUNTRY	CI	ASS	SUB- CLASS	TRANSLATION
	AL1	wo	00/13306		03/2000	PCT	но	3D	7/16	Yes No
	AM1	DE	DE 199 24 039 A1 12/19		12/1999	Germany	GC	1R	31/303	Yes No
	AN1	GB	2 339 351		01/2000	United Kingdom	но	3L	7/099	Yes No
	A01					!				Yes No
	AP1			· •-						Yes No
		_	OTHER (Inc	luđi	ng Author.	Title, Date, Pertine	nt Pages.	etc.)		
	AR	1	Copy of 30, 2002	Inte	rnational S pages.	earch Report for Appl	n. No. PCI	'/US01	/44321, is	sued October
									,	
	AS	1							à	. **
									CE SE	
	АТ	1							JAN 13 2003 ECHNOLOGY CENTER	RECEIVED
EXAMINER							DAT	E CONS	IDERED	
communicati	n citat on to A	ion i	f not in c			ther or not citation not considered. Inc			ce weth MPI	
::ODMA\MHODMA\SKGF_	DC1;86823;1									

¥Sterne Kessler **Goldstein Fox**

ATTORNEYS AT LAW 1 0 2003

Robert Greene Sterne Lawrence B. Bugaisky

hudith U. Kim Timothy J. Shea, Jr. Patrick E. Garrett Jeffrey T. Helvey Heidi L. Kraus Albert L. Ferro* Donald R. Banowit Peter A. Jackman Molly A. McCall ev S. Weaver Kendrick P Patterson Eldora Ellison Floyd

Virgil Lee Beaston Christine M. Lhuder Jon E. Wright* tuAnne M. Yuricek*

Registered Patent Agents
Karen R. Markowicz Nancy J. Leith Ann E. Summerfield Helene C. Carlson Gaby L. Longsworth Matthew J. Dowd Angelique G. Uv Bryan L. Skelton A Schwartzman

Teresa A. Colella

Kenneth C. Bass III

Admitted only in Maryland Admitted only in Virginia Admitted only in Texas Practice Limited to Federal Agencies

January 10, 2003

WRITER'S DIRECT NUMBER: (202) 371-2675 **INTERNET ADDRESS:** JHELVEY@SKGF.COM

Commissioner for Patents Washington, D.C. 20231

Re:

U.S. Utility Patent Application

Appl. No. 09/995,695; Filed: November 29, 2001 **Integrated Direct Conversion Satellite Tuner** For:

Inventors:

Wakayama et al.

Our Ref:

1875.1210001/RES/JTH

Sir:

Transmitted herewith for appropriate action are the following documents:

- 1. Information Disclosure Statement (IDS)(with a copy of the International Search Report received in the foreign counterpart application);
- 2. Form PTO-1449 (1 page) with 8 accompanying documents; and

3. Return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Jeffrey T. Helvey

Attorney for Applicants

Registration No. 44,757

JTH/cjs **Enclosures**